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JC17 Rec'd PCT/PTO

20 JUN 2001

Express

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PCT

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

102241-101

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/868889

INTERNATIONAL APPLICATION NO.

PCT/IB99/02084

INTERNATIONAL FILING DATE

23 Dec. 1999

PRIORITY DATE CLAIMED

24 Dec. 1998

TITLE OF INVENTION

HUMAN THYROID RECEPTOR LIGANDS AND METHOD

APPLICANT(S) FOR DO/EO/US

KARO BIO AB

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unsigned)
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Prelim. Ex. Report (PCT/IPEA 416 and 409)
 PCT Request (PCT/RO/101) International Search Report (PCT/ISA/220)
 PCT Demand (PCT/IPEA/401) Notification of Receipt (PCT/IB/301)
 Published Application WO 00/39077

U.S. APPLICATION NO. (known, see 37

09/866089

INTERNATIONAL APPLICATION NO.

PCT/IB99/02084

ATTORNEY'S DOCKET NUMBER

12241-101

21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	29 - 20 =	9	x \$18.00	\$ 162.00
Independent claims	4 - 3 =	1	x \$80.00	\$ 80.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$

\$

\$ 162.00

\$ 80.00

\$

TOTAL OF ABOVE CALCULATIONS =

\$1,102.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$ -551.00

SUBTOTAL =

\$ 551.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

0.00

TOTAL NATIONAL FEE =

\$ 551.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

0.00

TOTAL FEES ENCLOSED =

\$

Amount to be
refunded:

\$

charged:

\$ 551.00

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 23-1665 in the amount of \$551.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 23-1665. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Docket Coordinator
WIGGIN & DANA
One Century Tower
New Haven, CT 06508-1832
Tel. (203) 498-4400
Fax (203) 782-2889

SIGNATURE

TODD E. GARABEDIAN

NAME

39,197

REGISTRATION NUMBER

09/868889
531 Rec'd 20 JUN 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re International Application No.: PCT/IB99/02084
Inventors: Jon Hangeland et al.
International Filing Date: December 23, 1999
Priority Date Claimed: December 24, 1998
For: NOVEL THYROID RECEPTOR
LIGANDS AND METHOD
Attorney Docket No.: 102241-101

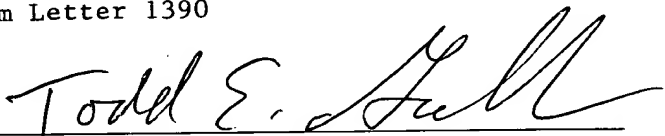
Certificate of Express Mailing Under 37 C.F.R. § 1.10

I hereby certify that this Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date 20 JUNE 2001 in an envelope as "Express Mail Post Office to Addressee", Mailing Label No. EL662089097US to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Todd E. Garabedian, Ph.D.
Name of Person Mailing Paper


Signature of Person Mailing Paper

Enclosed documents: Preliminary Examination Report (PCT/IPEA 416 and 419)
PCT Request (PCT/RO/101)
PCT Demand (PCT/IPEA/401)
International Search Report (PCT/ISA/220)
Unsigned Oath and Declaration
Notification of Receipt (PCT/1/301)
Published Application WO 00/39077
PTO Transmittal Form Letter 1390


Todd E. Garabedian, Ph.D.
Attorney Registration No. 39,197
WIGGIN & DANA
One Century Tower
New Haven, CT 06508-1832
Tel. (203) 498-4400
Fax (203) 782-2889

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